



#3

**THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of : Initial Patent Examination  
: Division  
James R. Riordan et al. : Box Missing Parts  
: Serial No.: 09/821,584 : Date: June 14, 2001  
: Filed: March 29, 2001 :  
:

For: SYSTEM, METHOD AND SOFTWARE FOR SUPPLYING  
ACTIVATION INFORMATION TO A SUBSYSTEM

**RESPONSE TO FILING OF MISSING PARTS OF APPLICATION UNDER 37 CFR  
1.63**  
**FILING DECLARATION AND POWER OF ATTORNEY**  
**FILING ASSIGNMENT**

To: Assistant Commissioner for Patents  
Initial Patent Examination Division  
Box Missing Parts  
Washington, D.C. 20231

Sir:

On March 29, 2001, the above-identified application was filed with the U.S. Patent and Trademark Office, under Rule 1.53(b) Missing Parts.

Enclosed at this time is an original declaration, which includes the signatures of the two inventors. This copy has been altered only to indicate the serial number and filing date of the subject application.

Also attached for filing is the original fully executed Assignment for the above-identified application with the required Recordation Form Cover Sheet.



The fee of \$170.00 representing both the Surcharge of \$130.00 and Assignment fee of \$40.00 is to be charged to Deposit Account No.: 09-0468. A duplicate copy of this paper is attached.

A copy of the "Notice to File Missing Parts of Application-Filing Date Granted", date mailed May 7, 2001, is also attached as per your instructions.

Respectfully submitted,  
Attorney for the Applicants

by \_\_\_\_\_

A handwritten signature in black ink, appearing to read "Louis Herzberg".

Louis P. Herzberg  
Reg. No. 41,500  
Tel. (914) 945-2885

IBM Thomas J. Watson Research Center  
Intellectual Property Law Department  
P.O. Box 218  
Yorktown Heights, N.Y. 10598

Attorney Docket: CH920000010US1



Sector #

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of,

: Initial Patent Examination

: Division

James R. Riordan et al.

: Box Missing Parts

:

Serial No.: 09/821,584

: Date: June 14, 2001

:

Filed: March 29, 2001

:

:

For: SYSTEM, METHOD AND SOFTWARE FOR SUPPLYING  
ACTIVATION INFORMATION TO A SUBSYSTEM

To: Assistant Commissioner for Patents  
Initial Patent Examination Division  
Box Missing Parts  
Washington, D.C. 20231

**CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)**

I hereby certify that the attached correspondence comprising:

1. Acknowledgment Post Card;
2. Filing of Missing Parts of Application Under 37 CFR 1.63  
(in duplicate);
3. Declaration and Power of Attorney Form;
4. Notice to File Missing Parts of Application (return copy); and
5. Assignment to IBM with attached Recordation Form

is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

**Assistant Commissioner for Patents  
Initial Patent Examination Division  
Box Missing Parts  
Washington, DC 20231**

on June 14, 2001

Margaret McCabe  
(Print name of person certifying)

Margaret McCabe  
(Signature of person certifying)

Docket CH920000010US1



#3

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/821,584	03/29/2001	James F. Riordan	CH920000010US1

CONFIRMATION NO. 3499

## FORMALITIES LETTER



\*OC000000006047862\*

IBM CORPORATION  
INTELLECTUAL PROPERTY LAW DEPT.  
P.O. BOX 218  
YORKTOWN HEIGHTS, NY 10598

Date Mailed: 05/07/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- o The oath or declaration is unsigned.
- o To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- o The balance due by applicant is \$ 130.

---

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/21/2001 ANABII 00000018 090468 09821584

01 FC:105 130.00 CH